

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of: )  
Justin K. Brask et al. ) Examiner: Not yet assigned  
Serial No.: Not yet assigned ) Art Unit: Not yet assigned  
Filed: Herewith )  
For: A METHOD FOR MAKING A )  
SEMICONDUCTOR DEVICE HAVING A )  
HIGH-K GATE DIELECTRIC )  
Which is a Divisional of Application of: )  
Serial No: 10/391,816 )  
Filed: March 18, 2003 )  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**INFORMATION DISCLOSURE STATEMENT**

Sir:

Enclosed is a copy of Information Disclosure Citation Form PTO-1449 together with copies of the documents cited on that form. It is respectfully requested that the cited documents be considered and that the enclosed copy of Information Disclosure Citation Form PTO-1449 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s).

"Express Mail" mailing label number: EV 335 418 135 US

Date of Deposit: December 29, 2003

I hereby certify that I am causing this paper or fee to be deposited with the United States Postal Service "Express Mail Post Office to Addressee" service on the date indicated above and that this paper or fee has been addressed to Mail Stop New Patent Application, COMMISSIONER FOR PATENTS, P.O. Box 1450, Alexandria, VA 22313-1450

Teresa Edwards

(Typed or printed name of person mailing paper or fee)

(Signature of person mailing paper or fee)

December 29, 2003

(Date signed)

Pursuant to 37 C.F.R. § 1.97, the submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made and is not to be construed as an admission that the information cited in this statement is material to patentability.

Pursuant to 37 C.F.R. § 1.97, this Information Disclosure Statement is being submitted under one of the following (as indicated by an "X" to the left of the appropriate paragraph):

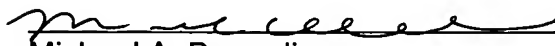
- ☒ 37 C.F.R. §1.97(b).
- ☐ 37 C.F.R. §1.97(c). If so, then enclosed with this Information Disclosure Statement is one of the following:
- ☐ A statement pursuant to 37 C.F.R. §1.97(e) or
- ☐ A check for \$180.00 for the fee under 37 C.F.R. § 1.17(p).
- ☐ 37 C.F.R. §1.97(d). If so, then enclosed with this Information Disclosure Statement are the following:
- (1) A statement pursuant to 37 C.F.R. §1.97(e); and
  - (2) A check for \$180.00 for the fee under 37 C.F.R. §1.17(p) for submission of the Information Disclosure Statement.

If there are any additional charges, please charge Deposit Account No. 02-2666.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Dated: 12/27, 2003

  
Michael A. Bernadicou  
Reg. No. 35, 934

12400 Wilshire Blvd.  
Seventh Floor  
Los Angeles, CA 90025-1026  
(408) 720-8300

<b>Substitut f r F rm 1449/PTO</b> <b>INFORMATION DISCLOSURE</b> <b>STATEMENT BY APPLICANT</b> <i>(use as many sheets as necessary)</i>				<b>Complete if Known</b>	
				Application Number	Not yet assigned
				Filing Date	Herewith
				First Named Inventor:	Justin K. Brask et al.
				Art Unit	Not yet assigned
				Examiner Name	Not yet assigned
Sh et	1	of	2	Attorney Docket Number	P16015C

### U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (If known)				
		US-	2002/0197790 A1	12/26/2002	Kizilyalli et al.	
		US-	6,514,828 B2	2/4/2003	Ahn et al.	
		US-	6,436,777 B1	8/20/2002	Ota	
		US-	2003/0045080 A1	3/6/2003	Visokay et al.	
		US-	6,544,906 B2	4/8/2003	Rotondaro et al.	
		US-	6,184,072 B1	2/6/2001	Kaushik et al.	
		US-	6,420,279 B1	7/16/2002	Ono et al.	
		US-	2003/0032303 A1	2/13/2003	Yu et al.	
		US-	5,783,478	7/21/1998	Chau et al.	
		US-	6,625,217	4/29/1997	Chau et al.	
		US-	6,306,742 B1	10/23/2001	Doyle et al.	
		US-	5,891,798	4/6/1999	Doyle et al.	
		US-				
		US-				
		US-				

### FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)				

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SENT FEES OR COMPLETED FORMS TO THIS ADDRESS.

SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

<b>Substitut for F rm 1449/PTO</b> <b>INFORMATION DISCLOSURE</b> <b>STATEMENT BY APPLICANT</b> <i>(use as many sheets as necessary)</i>				<b>Complete if Known</b>	
				Application Number	Not yet assigned
				Filing Date	Herewith
				First Named Inventor:	Justin K. Brask et al.
				Art Unit	Unknown
				Examiner Name	Unknown
Sheet	2	of	2	Attorney Docket Number	P16015C
<b>NON PATENT LITERATURE DOCUMENTS</b>					
Examiner Initials*	Cite No <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published			T <sup>2</sup>
		Doug Barlage et la. "High Frequency Responset of 100nm Integrated CMOS Transistors with High-K Gate Dielectrics", 2001 IEEE, 4 pages			
		ROBERT S. CHAU ET AL. "A 50NM Depleted-Substrate CMOS Transistor (DST)", 2001 IEEE, 4 pages			
		"A Method of Making a Semiconductor Device Having a High-K Gate Dielectric", Serial No. 10/082,530, filed 2/22/02			
		"A Method of Making a Semiconductor Device Having a High-K Gate Dielectric", Serial No. 10/285,915, Filed 10/31/02			
		"A Method of Making a Semiconductor Device Having a High-K Gate Dielectric", Serial No. 10/288,043, Filed 11/5/02			
		"A Method of Making a Semiconductor Device Having a High-K Gate Dielectric", Serial No. 10/315,268, Filed 12/10/02			
		"A Method of Making a Semiconductor Device Having a High-K Gate Dielectric", Serial No. 10/338,174, Filed 1/7/03			
		"A Method of Making a Semiconductor Device Having a High-K Gate Dielectric", Serial No. Unknown, Filed 3/11/03			

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

\*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>Applicant is to place a check mark here if English Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SENT FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.